



S/N 10/053003

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Leonard Forbes
Serial No.: 10/053,003
Filed: January 17, 2002
Title: THREE-DIMENSIONAL COMPLETE BANDGAP PHOTONIC CRYSTAL
FORMED BY CRYSTAL MODIFICATION

RECEIVED

OCT 24 2003

TC 1700

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et. seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicant respectfully requests that this Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicant requests that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicant with the next official communication.

Pursuant to 37 C.F.R. §1.97(c)(2), Applicants have included the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p). Please charge any additional fees or credit any overpayment to Deposit Account No. 19-0743.

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Page 2

Dkt: 1303.042US1

The Examiner is invited to contact the Applicant's Representative at the below-listed telephone number if there are any questions regarding this communication.

Respectfully submitted,

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By his Representatives,

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Date 10-17-03

By 

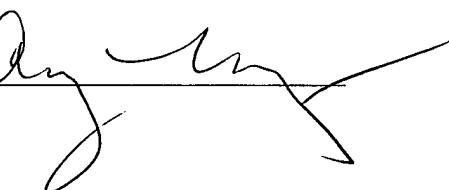
Viet V. Tong
Reg. No. 45,416

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 17th day of October, 2003.

Name

Amy Moriarty

Signature



<p>Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)</p> <p style="text-align: center;"><i>OCT 20 2003</i> <i>PATENT & TRADEMARK OFFICE</i></p>		<p><i>Complete if Known</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 45%; padding: 2px;">Application Number</td> <td style="width: 55%; padding: 2px;">10/053,003</td> <td style="width: 10%; text-align: right; padding: 2px;">RECEIVED</td> </tr> <tr> <td>Filing Date</td> <td>January 17, 2002</td> <td rowspan="3" style="width: 10%; text-align: right; vertical-align: middle; font-size: 1.5em;">OCT 24 2003</td> </tr> <tr> <td>First Named Inventor</td> <td>Forbes, Leonard</td> </tr> <tr> <td>Group Art Unit</td> <td>1765</td> </tr> <tr> <td>Examiner Name</td> <td>Kunemund, Robert</td> <td>TC 1700</td> </tr> </table>		Application Number	10/053,003	RECEIVED	Filing Date	January 17, 2002	OCT 24 2003	First Named Inventor	Forbes, Leonard	Group Art Unit	1765	Examiner Name	Kunemund, Robert	TC 1700
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Examiner Name	Kunemund, Robert	TC 1700														
Sheet 1 of 2		Attorney Docket No: 1303.042US1														

US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
	US-5,471,180	11/28/1995	Brommer, K. , et al.	333	202	12/06/1993
	US-5,526,449	06/11/1996	Meade, R. , et al.	385	14	07/14/1994

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
	EP-1030196	08/23/2000	Van Nest Braun, P. , et al.	G02 B	5/20	
	EP-1085352	03/21/2001	Hiraoka, T. , et al.	G02 B	6/12	
	JP-2001-093887	04/06/2001	Yukihiro, U.	H01L	21/306 5	
	WO-98/35248	08/13/1998	Fink, Y. , et al.	G02 B	6/138	

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		BIRNER, A. , et al., "Silicon-Based Photonic Crystals", <u>Advanced Materials</u> , VCH Verlagsgesellschaft, Weinheim, De, 13, (2001),377-388	✓
		BLANCO, A , et al., "Large-scale synthesis of a silicon photonic crystal with a complete three-dimensional bandgap near 1.5 micrometres", <u>Letters to Nature</u> , 405, (2000),437	✓
		HO, K , et al., "Existence of a Photonic Gap in Periodic Dielectric Structures", <u>Physical Review Letters</u> , 65, (1990),3152-3155	✓
		JOANNOPOULOS, J D., et al., "Photonic Crystals", Princeton University Press,(1995),	✓
		MITSUTAKE, K , et al., "Theoretical Study on the Formation Process of Empty Space in Silicon (ESS)", <u>2000 International Conference on Solid State Devices and Materials</u> , (2000),198-199	✓
		MIZUSHIMA, I. , "Empty-Space-in-Silicon Technique for Fabricating a Silicon-on-Nothing Structure", <u>Applied Physics Letters</u> , 77, American Institute of Physics, NY,(2000),3290-3292	✓
		NICHOLS, F A., "Surface-(interace) and volume-diffusion contributions to morphological changes driven by capillarity", <u>Transactions of the American Institute of Mining, Metallurgical and Petroleum Engineers</u> , 233(10), (1965),1840-8	✓
		SATO, T , "A new substrate engineering for the formation of empty space in silicon (ESS) induced by silicon surface migration", <u>International Electron Devices Meeting 1999. Technical Digest</u> , (1999),517-20	

EXAMINER

DATE CONSIDERED

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		<i>Complete if Known</i>	
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Sheet 2 of 2		RECEIVED OCT 24 2003 TC 1700	
Attorney Docket No: 1303.042US1			

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		YABLONOVITCH, E , Phys. Rev. Lett., 58, (1987),2059	
		YABLONOVITCH, E , et al., Phys. Rev. Lett., 67, (1991),2295	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached